

13281  
012004

U.S.PTO

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UTILITY  
PATENT APPLICATION  
TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	500.37509CX3
First Inventor	HIGAKI, SEIICHI
Title	DISK ARRAY AND METHOD FOR READING/WRITING DATA FROM/INTO DISK UNIT
Express Mail Label No.	

APPLICATION ELEMENTS  
SEE MPEP chapter 600 concerning utility patent application contents.ADDRESS TO:  
Mail Stop Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria VA 22313-1450

1.  Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)

2.  Applicant claims small entity status.  
See 37 CFR 1.27.

3.  Specification [Total Pages: 36]  
(preferred arrangement set forth below)  
-Descriptive title of the invention  
-Cross Reference to Related Applications  
-Statement Regarding Fed sponsored R & D  
-Reference to sequence listing, a table, or a computer program listing appendix  
-Background of the Invention  
-Brief Summary of the Invention  
-Brief Description of the Drawings (if filed)  
-Detailed Description  
-Claim(s)  
-Abstract of the Disclosure

4.  Drawing(s) (35 U.S.C. 113) [Total Sheets: 15]

5. Oath or Declaration [Total Sheets: 2]  
a.  Newly executed (original or copy)  
b.  Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 18 completed)  
i.  **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s)  
Named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)

6.  Application Data Sheet. See 37 CFR 1.76

7.  CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)

8. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)  
a.  Computer Readable Form (CRF)  
b. Specification Sequence Listing on:  
i.  CD-ROM or CD-R (2 copies); or  
ii.  paper  
c.  Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9.  Assignment Papers (cover sheet & documents(s))

10.  37 CFR 3.73(b) Statement  Power of Attorney  
(when there is an assignee)

11.  English Translation Document (if applicable)

12.  Information Disclosure Statement (IDS)/PTO-1449  Copies of IDS Citations

13.  Preliminary Amendment

14.  Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)

15.  Certified Copy of Priority Document(s)  
(if foreign priority is claimed)

16.  Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.

17.  Other: **Letter Claiming Right of Priority & Credit Card Payment Form**

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

 Continuation  Divisional  Continuation-in-part (CIP) of prior application No.: 10/457,387

Prior application information: Examiner: \_\_\_\_\_ Art Unit: \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

<input checked="" type="checkbox"/> Customer Number	020457		<input type="checkbox"/> Correspondence address below
Name	ANTONELLI, TERRY, STOUT & KRAUS, LLP		
Address			
City	State	Zip Code	
Country	Telephone	(703) 312-6600	Fax
Name (Print/Type)	Registration No. (Attorney/Agent)		
Signature	Date		

This collection of information is required by 37 CFR 1.53(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

10/759248  
15535 US PTO

012004

<b>PTO</b> <b>FEE TRANSMITTAL</b> <b>for FY 2004</b>		<b>Complete if Known</b>			
		Application Number	Not yet assigned		
		Filing Date	January 20, 2004		
		First Named Inventor	HIGAKI, SEIICHI		
		Examiner Name			
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27		Art Unit			
<b>TOTAL AMOUNT OF PAYMENT</b>		<b>(\$)</b> 928	Attorney Docket No.	500.37509CX3	
<b>METHOD OF PAYMENT</b> (check all that apply)		<b>FEE CALCULATION</b> (continued)			
<input type="checkbox"/> Check <input checked="" type="checkbox"/> Credit Card <input type="checkbox"/> Money Order <input type="checkbox"/> Other <input type="checkbox"/> None		<b>3. ADDITIONAL FEES</b>			
<b>Deposit Account:</b> Deposit Account Number    01-2135 Deposit Account Name    Antonelli, Terry, Stout & Kraus, LLP		Large Entity	Small Entity		
The Director is authorized to: (check all that apply) <input checked="" type="checkbox"/> Charge fee(s) indicated below <input checked="" type="checkbox"/> Credit any overpayments <input checked="" type="checkbox"/> Charge any additional fee(s) during the pendency of this application. <input type="checkbox"/> Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.		Fee Code	Fee (\$)	Fee Code	Fee (\$)
		1051	130	2051	65
		1052	50	2052	25
		1053	130	1053	130
		1812	2,520	1812	2,520
		1804	920*	1804	920*
		1805	1,840	1805	1,840*
		1251	110	2251	55
		1252	420	2252	210
		1253	950	2253	475
		1254	1,480	2254	740
		1255	2,010	2255	1,005
		1401	330	2401	165
		1402	330	2402	165
		1403	290	2403	145
		1451	1,510	1451	1,510
		1452	110	2452	55
		1453	1,330	2453	665
		1501	1,330	2501	665
		1502	480	2502	240
		1503	640	2503	320
		1406	130	1460	130
		1807	50	1807	50
		1806	180	1806	180
		8021	40	8021	40
		1809	770	2809	385
		1810	770	2810	385
		1801	770	2801	385
		1802	900	1802	900
		Fee Description			
		Surcharge – late filing fee or oath			
		Surcharge – late provisional filing fee or cover sheet			
		Non-English specification			
		For filing a request for ex parte reexamination			
		Requesting publication of SIR prior to Examination action			
		Requesting publication of SIR after Examiner action			
		Extension for reply within first month			
		Extension for reply within second month			
		Extension for reply within third month			
		Extension for reply within fourth month			
		Extension for reply within fifth month			
		Notice of Appeal			
		Filing a brief in support of an appeal			
		Request for oral hearing			
		Petition to institute a public use proceeding			
		Petition to revive – unavoidable			
		Petition to revive – unintentional			
		Utility issue fee (or reissue)			
		Design issue fee			
		Plant issue fee			
		Petitions to the Commissioner			
		Processing fee under 37 CFR 1.17(q)			
		Submission of Information Disclosure Stmt			
		Recording each patent assignment per property (times number of properties)			
		Filing a submission after final rejection (37 CFR § 1.129(a))			
		For each additional invention to be examined (37 CFR § 1.129(b))			
		Request for Continued Examination (RCE)			
		Request for expedited examination of a design application			
		Fee Description			
		Claims in excess of 20			
		Independent claims in excess of 3			
		Multiple dependent claim, if not paid			
		** Reissue independent claims over original patent			
		** Reissue claims in excess of 20 and over original patent			
		Fee Description			
		Other fee (specify) _____			
		*Reduced by Basic Filing Fee Paid			
		<b>SUBTOTAL (3) (\$)</b>			

SUBMITTED BY		<b>Complete (if applicable)</b>			
Name (Print/Type)	Carl I. Brundidge	Registration No. (Attorney/Agent)	29,621	Telephone	703-312-6600
Signature					Date 01/20/2004

**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450